

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
ICOR-002SERIAL NO.  
09/665,305LIST OF PATENTS AND PUBLICATIONS FOR AP-  
PLICANT(S)' INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

APPLICANT  
Handa, et al.FILING DATE  
9/19/00

GROUP ART UNIT

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
GA		3,573,747	4/6/71	Adams, et al.			
GA		4,674,044	6/16/87	Kalmus, et al.			
GA		4,942,616	7/17/90	Linstroth, et al.			
GA		4,980,826	12/25/90	Wagner			
GA		5,038,284	8/6/91	Kramer			
GA		5,077,665	12/31/91	Silverman, et al.			
GA		5,101,353	3/31/92	Lupien, et al.			
GA		5,136,501	8/4/92	Silverman			
GA		5,375,055	12/20/94	Togher, et al.			
GA		5,724,524	3/3/98	Hunt, et al.			
GA		5,774,880	6/30/98	Ginsberg			
GA		5,802,499	9/1/98	Sampson, et al.			
GA		5,809,483	9/15/98	Broka, et al.			
GA		5,857,176	1/5/99	Ginsberg			
GA		5,873,071	2/16/99	Ferrstenberg, et al.			
GA		5,905,974	5/18/99	Fraser, et al.			
GA		5,915,209	6/22/99	Lawrence			
GA		5,924,082	7/13/99	Silverman, et al.			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
GA		0512702 A2	11/11/92	Europe				
GA		WO 99/19821	4/22/99	WIPO				
GA		0411748 A2	2/6/91	Europe				

## OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

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CA		5,924,083	7/13/99	Silverman, et al.			
CA		5,963,923	10/5/99	Garber			
CA		5,987,419	11/16/99	Hachino, et al.			
CA		6,012,046	1/4/00	Lupien, et al.			
CA		6,014,627	1/11/00	Togher, et al.			
CA		6,014,643	1/11/00	Minton			
CA		6,016,483	1/18/00	Rickard, et al.			
CA		6,026,383	2/15/00	Ausubel			
CA		6,058,379	5/2/00	Odom, et al.			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
CA		0399850 B1	12/13/95	Europe				
CA		0407026 B1	11/22/95	Europe				

## OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

CA		Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, P. 45.
CA		Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
CA		Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
CA		Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
CA		Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 <sup>st</sup> Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

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CA	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 <sup>st</sup> Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
CA	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 <sup>nd</sup> Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
CA	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
CA	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
CA	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
CA	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
CA	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
CA	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
CA	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
CA	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
CA	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
CA	Goodman, Ann, <i>The Moneyp: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
CA	Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
CA	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
CA	<i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, , Minex as Co-Sponsor?</i> , FX Week, May 17, 1991.
CA	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
CA	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

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**OTHER DOCUMENTS** *(Include Author, Title, Date, Pertinent Pages, etc.)*

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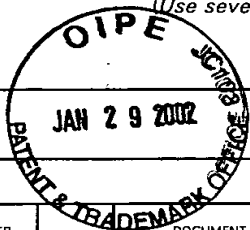
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## LIST OF REFERENCES CITED BY APPLICANT

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ICOR-002

APPLICATION NO.

09/665,305

APPLICANT

HANDA et al.

FILING DATE

September 19, 2000

GROUP

2161

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CA	A1	5,950,177	Sep.7, 1999	Lupien et al.	G06F	17/60	
	A2						
	A3						
	A4						
	A5						
	A6						
	A7						
	A8						
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	A12						

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Group 2100

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	B1							
	B2							
	B3							
	B4							
	B5							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	
	C2	
	C3	

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
GA	A1	6,317,727	11/13/2001	May	G06F	17/60	
GA	A2	2002/0002530 A1	1/3/2002	May	G06F	17/60	
	A3						
	A4						
	A5						
	A6						
	A7						
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	A10						
	A11						
	A12						

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	B2							
	B3							
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